OGE Form 278 (Rev. 12/2011)
5 C.F.R. Part 2634
U.S. Office of Government Ethics

Executive Branch Personnel PUBLIC FINANCIAL DISCLOSURE REPORT

Form Approved:
OMB No. 3209-0001

Date of Appointment, Candidacy, Election, or Nomination (*Month, Day, Year*)	Reporting Status (Check Appropriate Boxes)	Incumbent ☐	Calendar Year Covered by Report	New Entrant, Nominee, or Candidate ☑	Termination Filer ☐	Termination Date (*If Applicable*) (*Month, Day, Year*)
4/29/13						

	Last Name	First Name and Middle Initial
Reporting Individual's Name	Ceresney	Andrew J.
Position for Which Filing	Title of Position: Co-Director of Enforcement	Department or Agency (*If Applicable*): United States Securities and Exchange Commission
Location of Present Office (or forwarding address)	Address (*Number, Street, City, State, and ZIP Code*): 100 F Street NE, Washington DC 20549	Telephone No. (*Include Area Code*): 202-551-4773
Position(s) Held with the Federal Government During the Preceding 12 Months (*If Not Same as Above*)	Title of Position(s) and Date(s) Held	
Presidential Nominees Subject to Senate Confirmation	Name of Congressional Committee Considering Nomination	Do You Intend to Create a Qualified Diversified Trust? ☐ Yes ☐ No

Certification
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge.

Signature of Reporting Individual: [signature] — Date (*Month, Day, Year*): 5/28/13

Other Review (If desired by agency)
Signature of Other Reviewer: — Date (*Month, Day, Year*):

Agency Ethics Official's Opinion
On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).

Signature of Designated Agency Ethics Official/Reviewing Official: [signature] — Date (*Month, Day, Year*): 6/6/13

Office of Government Ethics Use Only
Signature: — Date (*Month, Day, Year*):

Comments of Reviewing Officials (*If additional space is required, use the reverse side of this sheet*)

(*Check box if filing extension granted & indicate number of days* _____) ☐

2013 MAY 28 P 4:22
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ETHICS OFFICE

(*Check box if comments are continued on the reverse side*) ☐

Fee for Late Filing

Any individual who is required to file this report and does so more than 30 days after the date the report is required to be filed, or, if an extension is granted, more than 30 days after the last day of the filing extension period, shall be subject to a $200 fee.

Reporting Periods

Incumbents: The reporting period is the preceding calendar year except Part II of Schedule C and Part I of Schedule D where you must also include the filing year up to the date you file. Part II of Schedule D is not applicable.

Termination Filers: The reporting period begins at the end of the period covered by your previous filing and ends at the date of termination. Part II of Schedule D is not applicable.

Nominees, New Entrants and Candidates for President and Vice President:

Schedule A--The reporting period for income (BLOCK C) is the preceding calendar year and the current calendar year up to the date of filing. Value assets as of any date you choose that is within 31 days of the date of filing.

Schedule B--Not applicable.

Schedule C, Part I (Liabilities)--The reporting period is the preceding calendar year and the current calendar year up to any date you choose that is within 31 days of the date of filing.

Schedule C, Part II (Agreements or Arrangements)--Show any agreements or arrangements as of the date of filing.

Schedule D--The reporting period is the preceding **two** calendar years and the current calendar year up to the date of filing.

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OGE Form 278 (Rev 12/2011)
5 C.F.R. Part 2634
U.S. Office of Government Ethics

Reporting Individual's Name	SCHEDULE A	Page Number
Ceresney, Andrew J.		2 of

Assets and Income — BLOCK A

For you, your spouse, and dependent children, report each asset held for investment or the production of income which had a fair market value exceeding $1,000 at the close of the reporting period, or which generated more than $200 in income during the reporting period, together with such income.

For yourself, also report the source and actual amount of earned income exceeding $200 (other than from the U.S. Government). For your spouse, report the source but not the amount of earned income of more than $1,000 (except report the actual amount of any honoraria over $200 of your spouse).

None ☐

Valuation of Assets at close of reporting period — BLOCK B

Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. — BLOCK C

	Assets and Income	Valuation of Assets: None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Income Type: Dividends	Rent and Royalties	Interest	Capital Gains	Amount: None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
Examples	Central Airlines Common				x												x						x									
	Doe Jones & Smith, Hometown, State			x																											Law Partnership Income $130,000	
	Kempstone Equity Fund					x								x										x								
	IRA: Heartland 500 Index Fund							x						x											x							
1	Chase-Checkings								x										x		x											
2	Chase-Savings								x										x			x										
3	Vanguard Treasury Money Market Fund (VUSXX)	x												x			x		x		x											
4	Dreyfus Brokerage Money Market Cash Account						x							x					x		x											
5	American Funds Tax Exempt of NY Fund NYAFX	x												x			x			x					x							
6	American Funds Global Bal Fd. GBLFX				x									x			x						x									

* This category applies only if the asset/income is solely that of the filer's spouse or dependent children. If the asset/income is either that of the filer or jointly held by the filer with the spouse or dependent children, mark the other higher categories of value, as appropriate.

OGE Form 278 (Rev. 12/2011)
5 C.F.R. Part 2634
U.S. Office of Government Ethics

Reporting Individual's Name	SCHEDULE A continued (Use only if needed)	Page Number
Ceresney, Andrew J.		3 of

Assets and Income	Valuation of Assets at close of reporting period															Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item.																
BLOCK A	BLOCK B															BLOCK C																
																Type				Amount												
	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1 Vanguard Explorer Fund VEXRX Held in Debevoise 401(k)				X									X							X												
2 Vanguard Inflation Protected Securities Fund VIPIX. Held in Debevoise 401(k)					X								X							X												
3 Vanguard Institutional Index Fund VINIX Held in Debevoise 401(k)				X									X							X												
4 Vanguard Total Bond Market Index Fund VBTIX Held in Debevoise 401(k)					X								X							X												
5 Vanguard Total International Stock Index Fund VTSNX. Held in Debevoise 401(k)			X										X							X												
6 Vanguard Wellington Fund VWENX Held in Debevoise 401(k)					X								X							X												
7 Vanguard Prime Money Market Fund VMMXX					X								X			X				X												
8 New York City Human Resources Administration																															Spouse Salary	
9 Debevoise & Plimpton																															law ptshp income $2,766,547	

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OGE Form 278 (Rev 12/2011)
5 C.F.R. Part 2634
U.S. Office of Government Ethics

Reporting Individual's Name	**SCHEDULE A** continued (Use only if needed)	Page Number
Andrew J. Ceresney		4

Assets and Income BLOCK A	**Valuation of Assets** at close of reporting period BLOCK B													**Income:** type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. BLOCK C															
																	Type				**Amount**												
	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date *(Mo., Day, Yr.)* Only if Honoraria
1 American Funds AMCAP AMCFX				X									X			X					X										
2 American Funds Cap Inc Bldr CAIFX				X									X			X							X								
3 American Funds New Perspective ANWFX				X									X							X											
4 American Funds New World NFFFX				X									X							X											
5 Franklin Convertible FCSZX			X										X			X						X									
6 Franklin Income FRIAX				X									X											X							
7 Franklin NYTF FNYAX						X							X			X									X						
8 Franklin Rising Div FRDPX					X								X							X											
9 Mutual Global Dis. MDISX			X										X							X											

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OGE Form 278 (Rev 12/2011)
5 C.F.R. Part 2634
U.S. Office of Government Ethics

Reporting Individual's Name	SCHEDULE A continued (Use only if needed)	Page Number
Andrew J. Ceresney		5

Assets and Income	Valuation of Assets at close of reporting period														Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item.															
BLOCK A	BLOCK B														BLOCK C															
															Type				Amount										Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000		
1 American Funds Small Cap World SMCFX				X									X			X						X									
2 Templeton Global Balanced TZINX			X										X			X							X								
3 Templeton Global Bond TGBAX			X										X			X							X								
4 Mutual Int'l FMIZX			X										X			X						X									
5 Franklin Growth FKGRX (IRA)				X									X							X											
6 Spouse's NYC Def Comp 457 Plan Invested in - NYC 2015 fund			X										X							X											
7 - NYC Stable Income Fund		X											X							X											
8 - NYC Bond Fund				X									X							X											
9 - NYC Equity Index Fund				X									X			X						X									

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OGE Form 278 (Rev. 12/2011)
5 C.F.R. Part 2634
U.S. Office of Government Ethics

Reporting Individual's Name	SCHEDULE A continued (Use only if needed)	Page Number
Andrew J. Ceresney		6

Assets and Income (BLOCK A)	Valuation of Assets at close of reporting period (BLOCK B)													Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. (BLOCK C)																
																	Type				Amount											
	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1 - NYC Midcap Equity Fund		X											X							X											
2 - NYC Int'l Equ. Fund		X											X			X					X										
3 - NYC Small Cap Equ. Fund		X											X							X											
4 Spouse's NYC 401k invested in - NYC Stable income Fund		X											X			X					X										
5 - NYC Equity Index Fund		X											X			X					X										
6 - NYC Midcap Equity Fund		X											X							X											
7 -NYC Small Cap Fund		X											X							X											
8 - NYC Int'l Equity Fund		X											X			X					X										
9 Mutual Shares TESIX (IRA) (S)		X											X			X					X										

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OGE Form 278 (Rev. 12/2011)
5 C.F.R. Part 2634
U.S. Office of Government Ethics

Reporting Individual's Name	SCHEDULE A continued (Use only if needed)	Page Number
Andrew J. Ceresney		7

Assets and Income (BLOCK A)	Valuation of Assets at close of reporting period (BLOCK B)														Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. (BLOCK C)																
															Type				Amount												
	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1 American Funds 529 (DC 1) Invested in - Capital Income Builder Fd. CIRAX				X									X							X												
2 - Capital World Growth & Inc. Fd. CWIAX			X										X							X												
3 - Growth Fund of America CGFAX			X										X							X												
4 - New Persepctive Fund CNPAX			X										X							X												
5 American Funds 529 (DC 2) Invested in - Capital Income Builder Fd. CIRAX				X									X							X												
6 - Capital World Growth & Income Fd. CWIAX			X										X							X												
7 -Growth & Income Fund of America CGFAX			X										X							X												
8 - New Perspective Fund CNPAX			X										X							X												
9 Vanguard New York Long Term Tax Exempt Fund					X								X			X								X								

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Reporting Individual's Name	SCHEDULE A continued (Use only if needed)	Page Number
Andrew J. Ceresney		8

Assets and Income	Valuation of Assets at close of reporting period														Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item.															
BLOCK A	BLOCK B														BLOCK C															
															Type				Amount											
	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1 Debevoise & Plimpton Cap Account						X									X				X											
2 Debevoise & Plimpton Cash Balance Retirement Plan (Defined Benefit Plan)						X									X				X											
3 Debevoise & Plimpton lump sum cash out of unfunded retirement plan																														$1,368,207	
4 Blank																															
5 Blank																															
6 Blank																															
7 Blank																															
8 Blank																															
9 Blank																															

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OGE Form 278 (Rev. 12/2011)
5 C.F.R. Part 2634
U.S. Office of Government Ethics

Do not complete Schedule B if you are a new entrant, nominee, or Vice Presidential or Presidential Candidate

Reporting Individual's Name	SCHEDULE B	Page Number
Ceresney, Andrew J.		9 of

Part I: Transactions

Report any purchase, sale, or exchange by you, your spouse, or dependent children during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss.

Do not report a transaction involving property used solely as your personal residence, or a transaction solely between you, your spouse, or dependent child. Check the "Certificate of divestiture" block to indicate sales made pursuant to a certificate of divestiture from OGE.

None ☐

	Identification of Assets	Transaction Type (x)			Date (Mo., Day, Yr.)	Amount of Transaction (x)											
		Purchase	Sale	Exchange		$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Certificate of divestiture
	Example: Central Airlines Common	x			2/1/99			x									
1	N/A																
2																	
3																	
4																	
5																	

*This category applies only if the underlying asset is solely that of the filer's spouse or dependent children. If the underlying asset is either held by the filer or jointly held by the filer with the spouse or dependent children, use the other higher categories of value, as appropriate.

Part II: Gifts, Reimbursements, and Travel Expenses

For you, your spouse and dependent children, report the source, a brief description, and the value of: (1) gifts (such as tangible items, transportation, lodging, food, or entertainment) received from one source totaling more than $350 and (2) travel-related cash reimbursements received from one source totaling more than $350. For conflicts analysis, it is helpful to indicate a basis for receipt, such as personal friend, agency approval under 5 U.S.C. § 4111 or other statutory authority, etc. For travel-related gifts and reimbursements, include travel itinerary, dates, and the nature of expenses provided. **Exclude** anything given to you by the U.S. Government; given to your agency in connection with official travel; received from relatives; received by your spouse or dependent child totally independent of their relationship to you; or provided as personal hospitality at the donor's residence. Also, for purposes of aggregating gifts to determine the total value from one source, exclude items worth $140 or less. See instructions for other exclusions.

None ☐

	Source (Name and Address)	Brief Description	Value
	Examples: Nat'l Assn. of Rock Collectors, NY, NY	Airline ticket, hotel room & meals incident to national conference 6/15/99 (personal activity unrelated to duty)	$500
	Frank Jones, San Francisco, CA	Leather briefcase (personal friend)	$385
1	N/A		
2			
3			
4			
5			

OGE Form 278 (Rev. 12/2011)
5 C.F.R. Part 2634
U.S. Office of Government Ethics

Reporting Individual's Name	SCHEDULE C	Page Number
Ceresney, Andrew J.		10 of

Part I: Liabilities

Report liabilities over $10,000 owed to any one creditor at **any time** during the reporting period by you, your spouse, or dependent children. Check the highest amount owed during the reporting period. **Exclude** a mortgage on your personal residence unless it is rented out; loans secured by automobiles, household furniture or appliances; and liabilities owed to certain relatives listed in instructions. See instructions for revolving charge accounts.

None ☒

	Creditors *(Name and Address)*	Type of Liability	Date Incurred	Interest Rate	Term if applicable	Category of Amount or Value (x)										
						$10,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001- $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001- $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000
Examples	First District Bank, Washington, DC	Mortgage on rental property, Delaware	1991	8%	25 yrs.			x								
	John Jones, Washington, DC	Promissory note	1999	10%	on demand					x						
1																
2																
3																
4																
5																

*This category applies only if the liability is solely that of the filer's spouse or dependent children. If the liability is that of the filer or a joint liability of the filer with the spouse or dependent children, mark the other higher categories, as appropriate.

Part II: Agreements or Arrangements

Report your agreements or arrangements for: (1) continuing participation in an employee benefit plan (e.g. pension, 401k, deferred compensation); (2) continuation of payment by a former employer (including severance payments); (3) leaves of absence; and (4) future employment. See instructions regarding the reporting of negotiations for any of these arrangements or benefits.

None ☒

	Status and Terms of any Agreement or Arrangement	Parties	Date
Example	Pursuant to partnership agreement, will receive lump sum payment of capital account & partnership share calculated on service performed through 1/00.	Doe Jones & Smith, Hometown, State	7/85
1	I will maintain my 401(k) plan at Debevoise and Plimpton, but neither the firm nor I will make any further contributions to the plan. The assets are all recorded on schedule A.	Debevoise & Plimpton	10/03
2	I received the full amount of my partnership income earned in 2012 and my Capital Account prior to commencing employment at the SEC and that is reported on Schedule A	Debevoise & Plimpton	10/03
3	I continue to participate in the firm's cash balance retirement plan, which is reported on Schedule A.	Debevoise & Plimpton	10/03
4	Pursuant to the partnership agreement, I received a lump sum cash out of my unfunded retirement plan, as reported on schedule A	Debevoise & Plimpton	10/03
5			
6			

OGE Form 278 (Rev 12/2011)
5 C.F.R. Part 2634
U.S. Office of Government Ethics

Reporting Individual's Name	SCHEDULE D	Page Number
Ceresney, Andrew J.		11 of

Part I: Positions Held Outside U.S. Government

Report any positions held during the applicable reporting period, whether compensated or not. Positions include but are not limited to those of an officer, director, trustee, general partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise or any non-profit organization or educational institution. **Exclude** positions with religious, social, fraternal, or political entities and those solely of an honorary nature.

None ☐

	Organization *(Name and Address)*	Type of Organization	Position Held	From *(Mo., Yr.)*	To *(Mo., Yr.)*
Examples	Nat'l Assn. of Rock Collectors, NY, NY	Non-profit education	President	6/92	Present
	Doe Jones & Smith, Hometown, State	Law firm	Partner	7/85	1/00
1	Debevoise & Plimpton	Law Firm	Partner	10/03	4/13
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Part II: Compensation in Excess of $5,000 Paid by One Source

Report sources of more than $5,000 compensation received by you or your business affiliation for services provided directly by you during any one year of the reporting period. This includes the names of clients and customers of any corporation, firm, partnership, or other business enterprise, or any other non-profit organization when you directly provided the services generating a fee or payment of more than $5,000. You need not report the U.S. Government as a source.

Do not complete this part if you are an Incumbent, Termination Filer, or Vice Presidential or Presidential Candidate.

None ☐

	Source *(Name and Address)*	Brief Description of Duties
Examples	Doe Jones & Smith, Hometown, State	Legal services
	Metro University (client of Doe Jones & Smith), Moneytown, State	Legal services in connection with university construction
1	Debevoise & Plimpton LLP, New York, NY	Legal Services
2	UBS AG (client of Debevoise & Plimpton LLP)	Legal Services
3	JPMorgan Chase & Co. (client of Debevoise & Plimpton LLP), NY, NY	Legal Services
4	Deloitte & Touche LLP (client of Debevoise & Plimpton LLP), NY, NY	Legal Services
5	Forest Laboratories, Inc. (client of Debevoise & Plimpton LLP), NY, NY	Legal Services
6	General Electric Company (client of Debevoise & Plimpton LLP), NY, NY	Legal Services

Reporting Individual's Name	SCHEDULE D	Page Number
,		12 of

Part I: Positions Held Outside U.S. Government

Report any positions held during the applicable reporting period, whether compensated or not. Positions include but are not limited to those of an officer, director, trustee, general partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise or any non-profit organization or educational institution. **Exclude** positions with religious, social, fraternal, or political entities and those solely of an honorary nature.

None ☐

	Organization *(Name and Address)*	Type of Organization	Position Held	From *(Mo., Yr.)*	To *(Mo., Yr.)*
Examples	Nat'l Assn. of Rock Collectors, NY, NY	Non-profit education	President	6/92	Present
	Doe Jones & Smith, Hometown, State	Law firm	Partner	7/85	1/00
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Part II: Compensation in Excess of $5,000 Paid by One Source

Report sources of more than $5,000 compensation received by you or your business affiliation for services provided directly by you during any one year of the reporting period. This includes the names of clients and customers of any corporation, firm, partnership, or other business enterprise, or any other non-profit organization when you directly provided the services generating a fee or payment of more than $5,000. You need not report the U.S. Government as a source.

Do not complete this part if you are an Incumbent, Termination Filer, or Vice Presidential or Presidential Candidate.

None ☐

	Source *(Name and Address)*	Brief Description of Duties
Examples	Doe Jones & Smith, Hometown, State	Legal services
	Metro University (client of Doe Jones & Smith), Moneytown, State	Legal services in connection with university construction
1	American Express (client of Debevoise & Plimpton LLP), NY, NY	Legal Services
2	Columbia University (client of Debevoise & Plimpton LLP), NY, NY	Legal Services
3	Fifth Third Bancorp (client of Debevoise & Plimpton LLP), NY, NY	Legal Services
4	Hess Corporation, Ny, NY (client of Debevoise & Plimpton LLP), NY, NY	Legal Services
5	Ken Lewis (client of Debevoise & Plimpton LLP), Charlotte, NC	Legal Services
6	Keith Hughes (client of Debevoise & Plimpton LLP), NY, NY	Legal Services

OGE Form 278 (Rev. 12/2011)
5 C.F.R. Part 2634
U.S. Office of Government Ethics

Reporting Individual's Name	SCHEDULE D	Page Number 13 of
,		

Part I: Positions Held Outside U.S. Government

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None ☐

	Organization *(Name and Address)*	Type of Organization	Position Held	From *(Mo., Yr.)*	To *(Mo., Yr.)*
Examples	Nat'l Assn. of Rock Collectors, NY, NY	Non-profit education	President	6/92	Present
	Doe Jones & Smith, Hometown, State	Law firm	Partner	7/85	1/00
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None ☐

	Source *(Name and Address)*	Brief Description of Duties
Examples	Doe Jones & Smith, Hometown, State	Legal services
	Metro University (client of Doe Jones & Smith), Moneytown, State	Legal services in connection with university construction
1	Eric Felder (client of Debevoise & Plimpton LLP), NY, NY	Legal Services
2	Joe Brennan (client of Debevoise & Plimpton LLP), NY, NY	Legal Services
3	John Matthews (client of Debevoise & Plimpton LLP), NY, NY	Legal Services
4	Leo Apotheker (client of Debevoise & Plimpton LLP), NY, NY	Legal Services
5	Note: three clients are not listed where enclosure and t representation is the subject of attorney-client privilege and other confidentiality obligations that do not permit disclosure	
6	without consent by the client	

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OGE Form 278 (Rev. 12/2011)
5 C.F.R. Part 2634
U.S. Office of Government Ethics

Reporting Individual's Name	SCHEDULE D	Page Number
Ceresney, Andrew J.		14 of

Part I: Positions Held Outside U.S. Government

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None ☐

	Organization *(Name and Address)*	Type of Organization	Position Held	From *(Mo., Yr.)*	To *(Mo., Yr.)*
Examples	Nat'l Assn. of Rock Collectors, NY, NY	Non-profit education	President	6/92	Present
	Doe Jones & Smith, Hometown, State	Law firm	Partner	7/85	1/00
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None ☐

	Source *(Name and Address)*	Brief Description of Duties
Examples	Doe Jones & Smith, Hometown, State	Legal services
	Metro University (client of Doe Jones & Smith), Moneytown, State	Legal services in connection with university construction
1	Credit Suisse (client of Debevoise & Plimpton LLP), NY, NY	Legal Services
2	Carlyle Group, (client of Debevoise & Plimpton LLP), Washington, DC	Legal Services
3	Jack Chen (client of Debevoise & Plimpton LLP)	Legal Services
4	HCA Inc., (client of Debevoise & Plimpton LLP), Nashville, TN	Legal Services
5	Howard Udell (client of Debevoise & Plimpton LLP), Westport, CT	Legal Services
6	Time Warner Book Group (client of Debevoise & Plimpton LLP), NY, NY	Legal Services

OGE Form 278 (Rev. 12/2011)
5 C.F.R. Part 2634
U.S. Office of Government Ethics

Reporting Individual's Name	SCHEDULE D	Page Number
Ceresney, Andrew J.		15 of

Part I: Positions Held Outside U.S. Government

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Examples	Nat'l Assn. of Rock Collectors, NY, NY	Non-profit education	President	6/92	Present
	Doe Jones & Smith, Hometown, State	Law firm	Partner	7/85	1/00
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None ☐

	Source *(Name and Address)*	Brief Description of Duties
Examples	Doe Jones & Smith, Hometown, State	Legal services
	Metro University (client of Doe Jones & Smith), Moneytown, State	Legal services in connection with university construction
1	Linklaters LLP (client of Debevoise & Plimpton LLP), NY, NY	Legal Services
2	David Rubenstein (client of Debevoise & Plimpton LLP), Washington, DC	Legal Services
3	Rupert Bondy (client of Debevoise & Plimpton LLP), London, England	Legal Services
4	Jotin Marango (client of Debevoise & Plimpton LLP), NY, NY	Legal Services
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